



PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Michael Prince, et al
SERIAL NUMBER: 09/198,067
FILING DATE: November 28, 1998
TITLE: METHOD AND APPARATUS FOR ADAPTIVE SERVICE
INTERWORKING

EXAMINER:
ART GROUP: 2731
DOCKET NO.: 1400.9800940

Date: June 7, 1999

Attention: Box Missing Parts
Honorable Commissioner of
Patents & Trademarks
Washington, DC 20231

*I hereby certify that this paper is being deposited with the United States
Postal Service as first-class mail in an envelope addressed to: Assistant
Commissioner for Patents, Washington, D.C. 20231, on this date.*

6.9.99
Date

Kristen G. Herzog
Kristen G. Herzog

RESPONSE TO NOTICE TO FILE MISSING PARTS
OF APPLICATION

Dear Sir:

In response to the Notice to File Missing Parts of Application mailed December 17, 1999, enclosed herewith please find:

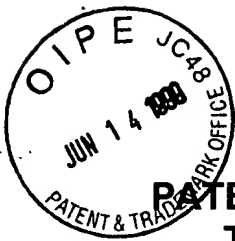
- (a) Declaration executed by the inventors;
- (b) Assignment to Newbridge Networks Corporation;
- (c) Assignment cover sheet;
- (d) Transmittal Form;
- (e) Fee Transmittal Form;
- (f) Copy of the Notice to File Missing Parts of Application; and
- (g) Return postcard

Respectfully submitted,

By: Timothy W. Markison

Timothy W. Markison
Registration No.: 33,534
Attorney for Applicant(s)

Markison & Reckamp, P.C.
175 West Jackson Boulevard – Suite 1015
Chicago, Illinois 60604
Tel: (312) 939-9800
Fax: (312) 939-9828



**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications
under 37 CFR 1.53(b))

Attorney Docket No. **1400.980094** Total Pages 17
First Inventor or Application Identifier Prince, et al
Title **METHOD AND APPARATUS FOR ADAPTIVE
SERVICE INTERNETWORKING**
Express Mail Label No.

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
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1. ☒ **Fee Transmittal Form**
(Submit an original, and a duplicate for fee processing)
2. ☐ **Specification** *Total Pages*
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☐ **Drawings (35 USC 113) Total Sheets**
4. ☐ **Oath or Declaration** *Total Pages 6*
 - a. ☒ **Newly executed** (original or copy)
 - b. ☐ **Copy from a prior application**
(37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. ☐ **Nucleotide and/or Amino-Acid Sequence Submission (if applicable, all necessary)**
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☒ **Assignment Papers** (cover sheet & document(s))
8. ☐ **37 CFR 3.73(b) Statement** ☐ **Power of Attorney**
(when there is an assignee)
9. ☐ **English Translation Document** (if applicable)
10. ☐ **Information Disclosure Statement (IDS)/PTO-1449** ☐ **Copies of IDS Citations**
11. ☐ **Preliminary Amendment**
12. ☒ **Return Receipt Postcard (MPEP 503)**
(Should be specifically itemized)
13. ☐ **Small Entity Statement(s)** ☐ **Statement filed in Prior Application, Status still proper and desired.**
14. ☐ **Certified Copy of Priority Document(s)**
(if foreign priority is claimed)
15. ☐ **Other**

5. ☐ **Microfiche Computer Program (Appendix)**

16. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

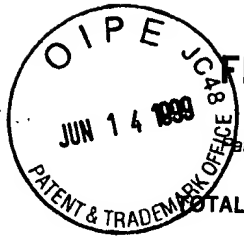
☐ **Continuation** ☐ **Divisional** ☐ **Continuation-in-part (CIP)** of prior application No:
Prior Application Information: Examiner Group / Art Unit:

17. CORRESPONDENCE ADDRESS

☐ **Customer Number or Bar Code Label** or, ☒ **Correspondence Address Below**

Markison & Reckamp, P.C.
175 West Jackson Boulevard - Suite 1015
Chicago, Illinois 60604
Telephone: 312-939-9800 Facsimile: 312-939-9828

Name (Print/Type)	Timothy W. Markison	REGISTRATION NUMBER	33,534
Signature		Date	6/8/99



FEE TRANSMITTAL

Note: Effective October 1, 1997.
Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 2386.00

Complete if Known

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number	
Deposit Account Name	

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Charge the Issue Fee Set in 37 CFR 1.18 at the mailing of the Notice of Allowance

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
101 760	201 380	Utility filing fee	760
106 310	206 155	Design filing fee	
107 480	207 240	Plant filing fee	
108 760	208 380	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$) 760

2. CLAIMS

Claims	Extra	Fee from below	Fee Paid
Total 21	(-20 =) 1	18	18
Indep. 4	(-3 =) 1	78	78
Multiple Dep.			

Large Entity Fee Code	Small Entity Fee Code	Fee Description
103 18	203 9	Claims in excess of 20
102 78	202 39	Independent claims in excess of 3
104 260	204 130	Multiple dependent claim
109 78	209 39	Reissue independent claims over original patent
110 18	210 9	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 96

SUBMITTED BY

Typed or Printed Name	Timothy W. Markison	Complete (if applicable)
Signature		Reg. Number 33,534
Date	6/8/99	Deposit Account User ID

Application Number	09/198,067
Filing Date	11/28/98
First Named Inventor	Prince
Group Art Unit	2731
Examiner Name	N/A
Attorney Docket Number	1400.9800940

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	130
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 380	216 190	Extension for reply within second month	
117 870	217 435	Extension for reply within third month	
118 1,360	218 680	Extension for reply within fourth month	1360
128 1,850	228 925	Extension for reply within fifth month	
119 300	219 150	Notice of Appeal	
120 300	220 150	Filing a brief in support of an appeal	
121 260	221 130	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,210	241 605	Petition to revive - unintentional	
142 1,210	242 605	Utility issue fee (or reissue)	
143 430	243 215	Design issue fee	
144 580	244 290	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40
146 760	246 380	Filing a submission after final rejection (37 CFR 1.129(a))	
149 760	249 380	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify)			
Other fee (specify)			

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 1530



SECTOR#
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/198,067	11/28/98	PRINCE	M 1400.9800940

0232/1217
TIMOTHY W MARKISON
175 W JACKSON BLVD-SUITE 1015
CHICAGO IL 60604

NOT ASSIGNED

2731

DATE MAILED:

12/17/98

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of \$65.00 for a small entity in compliance with 37 CFR 1.27, or \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a
☐ small entity (statement filed) ☐ non-small entity is \$

☐ 1. The statutory basic filing fee is:

- ☐ missing.
☐ insufficient.

Applicant must submit \$ 760.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. Additional claim fees of \$ 96.00, including any multiple dependent claim fees, are required.

\$ 78 for 1 independent claims over 3.

\$ 18 for 1 dependent claims over 20.

\$ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unexecuted.
☐ does not cover the newly submitted items.
☐ does not identify the application to which it applies.
☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/15/1999 ZABDALLA 00000045 09198067
760.00
130.00
16.00
76.00
01 FC:101
02 FC:105
03 FC:103
04 FC:102